

Page Denied

APPENDIX C

Policy and Procedures for Management for Information Systems

A. PURPOSE

This document is to set forth Agency policy regarding management responsibilities for the acquisition of new or enhanced Information System capabilities.

B. APPLICABILITY AND SCOPE

The provisions of this document apply to automated or other clearly identifiable processes used for creation, movement, use, storage, retrieval, or dissemination of intelligence and management information. Included are ADP hardware and software systems, communications systems, terminals, word-processing, printers and copiers, image processing and display systems.

C. POLICY

1. General

Information System acquisitions shall be reviewed and approved at decision milestones by appropriate management levels. Systems of extraordinary cost, risk, or interest shall be reviewed by the EXCOM; the Information Handling Systems Architect (IHSA) and the Program Management Component shall support the EXCOM review process. Information Systems falling below the EXCOM review threshold, but nevertheless important in the context of Agency Information Systems Architecture and Planning, may be reviewed by the IHSA at decision milestones.

2. Specific

For purposes of management and coordination there are three classes of information systems, determined by investment cost thresholds. Class I and II systems shall comply with the procedures, standards, and documentation requirements for major programs. Class III programs shall comply with the procedures, standards and documentation requirements for minor programs.

a) Class I Informations Systems shall be reviewed and approved at decision milestones by the EXCOM. Any Information System, or any significant revision of an existing Information System, meeting any one of the following criteria shall be designated a Class I Information System:

- i) Has anticipated acquisition costs in excess of [] during the span from program initiation to the time the system becomes operational; or STAT
- ii) Has estimated costs in excess of [] in any year; or STAT
- iii) Is designated as being of special interest or considered to have Agency-wide or community importance. Nominations to the EXCOM can be made by any of the EXCOM principals or the IHSA.

b) Class II Information Systems shall be reviewed and approved at decision milestones by the Deputy ~~Director responsible for the system.~~ Any Information System, or any significant revision of an existing Information System, meeting any of the following criteria shall be designated a Class II Information System:

- i) Has anticipated acquisition costs in excess of [] during the year from program initiation to the time the system becomes operational; or STAT
- ii) Has estimated acquisition costs in excess of [] in any year; or STAT
- iii) Is designated as being of special interest.

c) Class III Information Systems shall be reviewed and approved as the responsible Deputy Director may direct. In general, it is anticipated that he will delegate that authority to the next lower level of management. Any information system, or any significant revision of an information system which is in cost or importance less than Class II is a Class III system.

3. Milestone Decisions

Three milestone decisions are defined for acquisition of Major Information Systems.

- o Milestone 0 Decision -- Approval of Mission Need Statement approval of the budget and schedule, and authorization to proceed to the next program phase. The Mission Need Statement shall define the need for the system, and shall be accompanied by Preliminary System Requirements, acquisition strategy, schedule goals, and the total and annual investment of resources estimated. The next program phase for a simple package (no program development investment, e.g., a computer with standard support software) is the actual procurement, or for a complex system development, the next phase is the Concept Development Phase.
- o Milestone 1 Decision -- Approval of the System Design Concept, System Requirements, and Program Development Plan; and authorization to proceed with the next program phase. For large complex systems, alternate concepts are to be explored and evaluated before settling on a chosen concept, the reasons for a particular selection are to be presented. Documentation at this stage shall include baseline System Requirements, System Design Concept, and a Program Development Plan. System requirements will be coordinated and presented by the INSA. Cost and schedule goals are reassessed. Equipment acquisition plans are presented for approval. Acquisition of production status, commercial hardware will normally be executed pursuant to this approval or direction. Approved programs then proceed to the Preliminary Design Phase.
- o Milestone 2 Decision -- Approval of the Preliminary Design and Revised Program Development. All acquisition programs, however phased, will have a single Preliminary Design Review (PDR) covering the entire program. This review is coordinated with the program's internal PDR so that issues arising as a result of the PDR process can be evaluated. At this milestone review the program cost, functionality, and schedule objectives, as defined and determined at the PDR, are reassessed. Approved programs then proceed to full-scale development.

At each decision milestone, guidance and direction to the program are documented.

At any point at which a major program deviation in cost or schedule goals of more than 10 percent is estimated, the IHSA will be notified.

Procedures

The IHSA will receive all documentation relevant to systems development for Class I and II systems. Included are such documents as:

- o Functional requirements
- o Program acquisition plan
- o Feasibility, analyses and tradeoff studies
- o System specification
- o Management plan
- o System functional specifications
- o Interface control specifications
- o System detailed design specifications
- o System test and validation plan
- o Periodic progress reports

At least six months prior to Milestone 1 or 2 review of Class I and II systems the program sponsor will notify the IHSA. For Class I systems, the IHSA will coordinate and schedule an EXCOM review.

The IHSA will appoint a member of his staff to coordinate with the program office concerning preparation for the Milestone review. The program office will brief the IHSA office with respect to the program status for Class I and II systems. Questions which the office of the IHSA has with the project will be addressed to the project management. The intent is to resolve all the questions that pertain to such matters as the project formulation, completeness of planning and design, interoperability, conformity with standards, and supportability prior to the Milestone review.

C4

ADMINISTRATIVE - INTERNAL USE ONLY

Prior to the review, the IHSA will prepare brief point papers covering any points of concern or disagreement relative to the information system's development. Approximately one week prior to the EXCOM Milestone review of Class I systems, the IHSA will prebrief the EXCOM concerning unresolved issues and concerns. The project management will then brief the EXCOM on the system at the Milestone review. The IHSA will then prepare a decision coordinating paper documenting the EXCOM guidance and direction to the project.

For Class II systems, if the IHSA feels that there are significant architectural concerns, he may join the Milestone review.

5. IHSA Responsibilities

The Information Handling Systems review process compliments the budgeting process. Information System decisions must fit into the affordability framework of the budget, and further, must fit into the Agency architecture and planning framework for Information Systems. In that context, the IHSA will:

- a) Formulate overall architecture tenets for Information Systems
- b) In conjunction with prospective users, conduct formal reviews of proposed Information Systems to:
 - o Determine compliance with architecture tenets
 - o Validate Functional Requirements
 - o Validate System Concept

- o Ensure that relevant interfaces are considered
 - o Validate information security of proposed design
- c) Advising on relative priorities of Information Systems
- d) Focusing the issues for EXCOM reviews
- e) Making an annual report to the EXCOM on the status of IHSS in the Agency and advising EXCOM on Information Handling Systems decisions
- f) Designated individual for the Agency, to assure that architecture is either in compliance with government-wide standards and procedures or that variations have senior management approval. Included is assuring Agency compliance with Federal Information Processing Standards, and granting waivers to these in accordance with delegated authorities and specified procedures.